

CD-430  
(10/05)

U.S. Department of Commerce

## PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input checked="" type="checkbox"/> General Schedule <input type="checkbox"/> Federal Wage System <input type="checkbox"/> Wage Marine	<input checked="" type="checkbox"/> October 1 – September 30 <input type="checkbox"/> June 1 – May 31 <input type="checkbox"/> November 1 – October 31	From: <u>06/05/07</u>  To: <u>09/30/07</u>

Employee's Name: \_\_\_\_\_ SSN: \_\_\_\_\_

Position Title: Program Analyst Pay Plan, Series, Grade/Step: GS-0340-15

Organization: 1. Department of Commerce 3. Office of AU/S for Management

2. Economics and Statistics Administration 4. \_\_\_\_\_

### PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

**Privacy Act Statement** - Disclosure of your social security number is voluntary. The number is linked with your name in the official personnel records to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> <u>1</u> of <u>4</u>
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### Cascaded Organizational Goals

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

#### DOC Strategic Goals:

- ☒ Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- ☐ Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- ☐ Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- ☒ Management Integration Goal: Achieve Organizational and Management Excellence
- ☒ **Bureau Goal:** Support the information and analytical needs of the Department of Commerce and the Executive Branch.
- ☒ **SES/Organizational Goal:** Ensure that ESA resources are marshaled effectively to accomplish the Department and Under Secretary goals.

### Critical Element and Objective

Customer Service

To respond to internal and external customers, stakeholders, and the public.

**Weighting Factor:** (The weight for each element should reflect the significance within the framework of the Department's or Bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) **Enter the weight for this element in the adjacent box →**

Element Weight

15

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Responses to customer inquiries for information or services comply with Bureau standards.

Customer inquiries are acknowledged, and customers are apprised of the status of the inquiry and when to expect resolution.

Customer needs are identified, and issues are clarified in communications with the customer.

Customer expectations are managed to ensure that customers understand the type and level of service available and expected time frames.

Customer service is provided in collaboration, consultation, and partnership with customers, other agencies, and stakeholders.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

routinely responds to each customer request with factually accurate information that is consistent with Bureau and Departmental guidance and policies, as well as other relevant program or technical documents.

ork products reflect consideration of customer issues and concerns.

routinely responds to e-mail and telephone inquiries within 2 business days. If information is not readily available, customer is informed of this and given an expected day of delivery for information. Complete responses to customers rarely take more than 5 business days.

swers written requests for information within 5-7 days from date of receipt, or within other time frames specified by the supervisor or program requirements.

ral responses to customers are usually clear, courteous and directly address issues and questions.

on approved absence, an automated notification e-mail will normally be sent in response to in-coming messages that indicates your absence, the period of absence and identifies an alternate contact. Voice mail messages must also provide the caller with the same information.

## PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: \_\_\_\_\_

Date  
06/05/07Element No. 2 of 4

### Cascaded Organizational Goals

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#### DOC Strategic Goals:

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### Critical Element and Objective

#### Executive Correspondence and FOIA

To provide ESA-wide executive correspondence and FOIA support to ESA Headquarters.

**Weighting Factor:** (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

Element Weight

Enter the weight for this element in the adjacent box: →

35

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Executive correspondence for ESA is maintained and monitored. ESA staff is provided guidance on executive correspondence requirements and procedures.

Administrative reporting activities are coordinated between the Census Bureau, the Bureau of Economic Analysis, and the Economics and Statistics Administration.

Executive correspondence styles and procedures are fully automated and information technology resources are used to improve communication and enhance the effectiveness of administrative processes.

FOIA information requests are coordinated within ESA offices.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

Typically, ESA executive correspondence is processed within 24 hours of receipt and tracked to ensure the correspondence is completed by the established due date.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

FOIA and Privacy Act inquiries are controlled and responded to within 20 day time constraint mandated by law.

**PERFORMANCE PLAN AND APPRAISAL RECORD**

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> 3 of 4
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**Cascaded Organizational Goals**

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

**DOC Strategic Goals:**

- ☒ Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
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**Critical Element and Objective**

Human Capital & Ad Hoc Assignments  
Provides expert support on human capital, ad hoc projects, problems, situations or tasks in support of ESA Headquarters' mission.

<b>Weighting Factor</b> (The weight for each element should reflect the significance within the framework of the Department's or Bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)	<b>Element Weight</b>
<b>Enter the weight for this element in the adjacent box:→</b>	15

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element.  
A minimum of 3 and a maximum of 6 measurable results must be listed.

Human Capital reports and information requests for ESA are prepared and submitted to the Department and agency level task forces and working groups are attended.

Supervisor is apprised of significant program or administrative requirements on a wide range of subject matters.

Administrative and program issues are reviewed and evaluated. Programs are analyzed for opportunities to improve and support mission.

Resources are managed to accomplish ESA goals and objectives.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

Reports to supervisor contain factually accurate information and typically relevant to the program area being discussed.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> <u>4</u> of <u>4</u>
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### Cascaded Organizational Goals

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### Critical Element and Objective

OOP, Security & Safety Activities  
 o provide safety, security, and health information and guidance to ESA Headquarters employees.

**Weighting Factor:** (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

**Enter the weight for this element in the adjacent box:→**

<b>Element Weight</b>
35

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element.  
 A minimum of 3 and a maximum of 6 measurable results must be listed.

Reports and information requests are prepared and submitted to the Department. Agency level task forces and working groups are attended.

Security requirements and services are coordinated and security-related information is exchanged with staff and the DOC Security Council.

Conditions are reviewed for each office for compliance with safety requirements. Information on a safe work environment is provided to ESA employees focusing on safety, health issues, and familiarity with their respective evacuation routes.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

Typically, completed assignments and guidance provided is in accordance with ESA and Departmental procedures and regulations.

<b>Employee Name:</b> _____			
<b>PERFORMANCE SUMMARY RATING</b>			
<ul style="list-style-type: none"> <li>• List each element in the performance plan.</li> <li>• All elements are critical.</li> <li>• Assign a rating level for each element:</li> <li>• (5) Level 5 (highest level of performance); (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance)</li> <li>• Score each element by multiplying the weight by the rating level.</li> <li>• Interim ratings should be considered when you prepare the final summary rating.</li> <li>• After each element has been scored, compute the total point score by adding the individual scores.</li> <li>• Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating.</li> <li>• A written justification is required for any element rated below Level 3.</li> </ul>			
<b>Performance Element</b>	<b>Individual Weights</b> (Total must equal 100)	<b>Element Rating</b> (5, 4, 3, 2, 1)	<b>Score</b>
Customer Service	15		0
Executive Correspondence & FOIA	35		0
Human Capital & Ad Hoc Assignments	15		0
COOP, Security & Safety	35		0
<b>TOTAL SCORE</b>			0
<b>PERFORMANCE RATING</b>			
<div style="display: flex; justify-content: space-between;"> <div><input type="checkbox"/> <b>Level 5</b> (470 – 500)</div> <div><input type="checkbox"/> <b>Level 4</b> (380 – 469)</div> <div><input type="checkbox"/> <b>Level 3</b> (290 – 379)</div> <div><input type="checkbox"/> <b>Level 2</b> (200 – 289)</div> <div><input type="checkbox"/> <b>Level 1</b> (100 – 199)</div> </div>			
Rating Official's Signature/Title		Date	
Approving Official's Signature/Title		Date	
Employee's Signature (indicates appraisal meeting held)		Employee comments attached?	Date
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>PERFORMANCE RECOGNITION</b>			
<input type="checkbox"/> <b>Performance Award \$</b> _____ (    %) <i>Appropriation Code</i> _____			
<input type="checkbox"/> <b>QSI (Level 5 Required)</b>			
Rating Official's Signature/Title		Date	
Approving Official's Signature/Title		Date	